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REVISION B
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Code M
Budget Formulation (Advocacy) Process

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Code M Budget Formulation (Advocacy) Process

Approved and signed by

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DOCUMENT HISTORY LOG

Status (Draft/ Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		1-7-1999	
Revision	A	04-16-1999	Changes reflect comments, observations from the DNV Pre-Registration audit. Section 5 has been modified to reflect actual process as practiced & Section 6 has been modified to add additional verbage to action(s). Section 7 has been modified to conform to NPG 1441.1B.
Revision	B	04-18-2000	Based on observation from last internal audit, replaced references to Virtual Filing Cabinet with BRIC throughout document. Updated the flowchart to use latest symbology. Updated Section 6.2 to better describe the flowchart.

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1.0 PURPOSE

The purpose of this OWI is to document the activities performed in the development and integration of the complete Budget Process within Code M.

The Associate Administrator (AA) for the Office of Space Flight (OSF) is responsible for maintaining this document. The controlled version of the manual is available on the world wide web (WWW) via the HQ ISO 9000 Document Library for the ISO 9000 QMS at *http://hqiso9000.hq.nasa.gov.* By definition, any printed version of this OWI is uncontrolled. Any proposed revision to this manual is submitted by the AA (or designee) for OSF. The AA (or designee) for OSF authorizes approval of the revision after an internal review by the Document Control Board.

2.0 SCOPE

This OWI outlines the activities and activity steps which are performed by Headquarters, Code M personnel, to complete the budget formulation (advocacy) Process.

3.0 DEFINITIONS

The following definitions are offered to assist the user in understanding the process documented in this OWI:

POP	Program Operating Plan - Establishes the budget requirements for the budget year (Current year plus two) and for the four subsequent years.
OMB	Office of Management and Budget - Provides budget targets and policy direction to Federal Agencies that form the basis of the President's budget request to Congress.
IPO	Institutional Program Office - A NASA Program Office with institutional oversight responsibility for one or more NASA Field Centers.
PFP	Program Financial Plan - Results from the POP. Provides a multi-year funding plan for all NASA programs and projects.
Chief Budget Integration Officer Code M	Responsible for coordinating and integrating budget inputs into a cohesive Enterprise budget.
DAA	Deputy AA Business Management (M-6).
EAA	Enterprise AA

BRIC	Budget and Resources Management Information Center. A depository of financial program data used to prepare the NASA annual budget submission.

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4.0 REFERENCES

The following documents contain provisions that, through reference in this OWI or in policy or procedure documents, constitute the basis for the documented procedure:

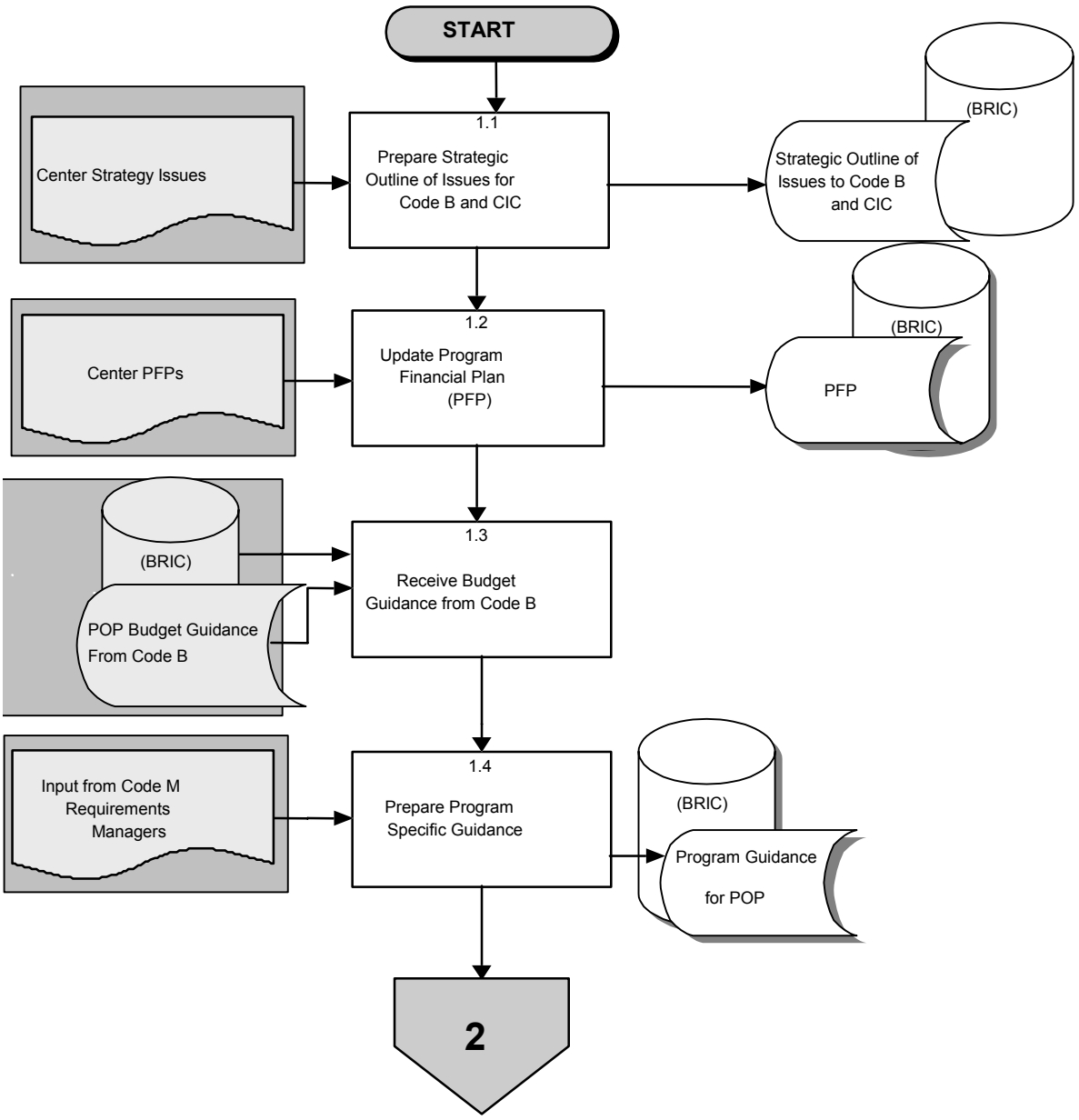
NPD 9050.3D	Administrative Control of Appropriations and Funds
NPD 7000.3D	Allocation and Control of Agency Resources
HQSM 1200.A.1	Headquarters Quality System Manual

5.0 FLOWCHART

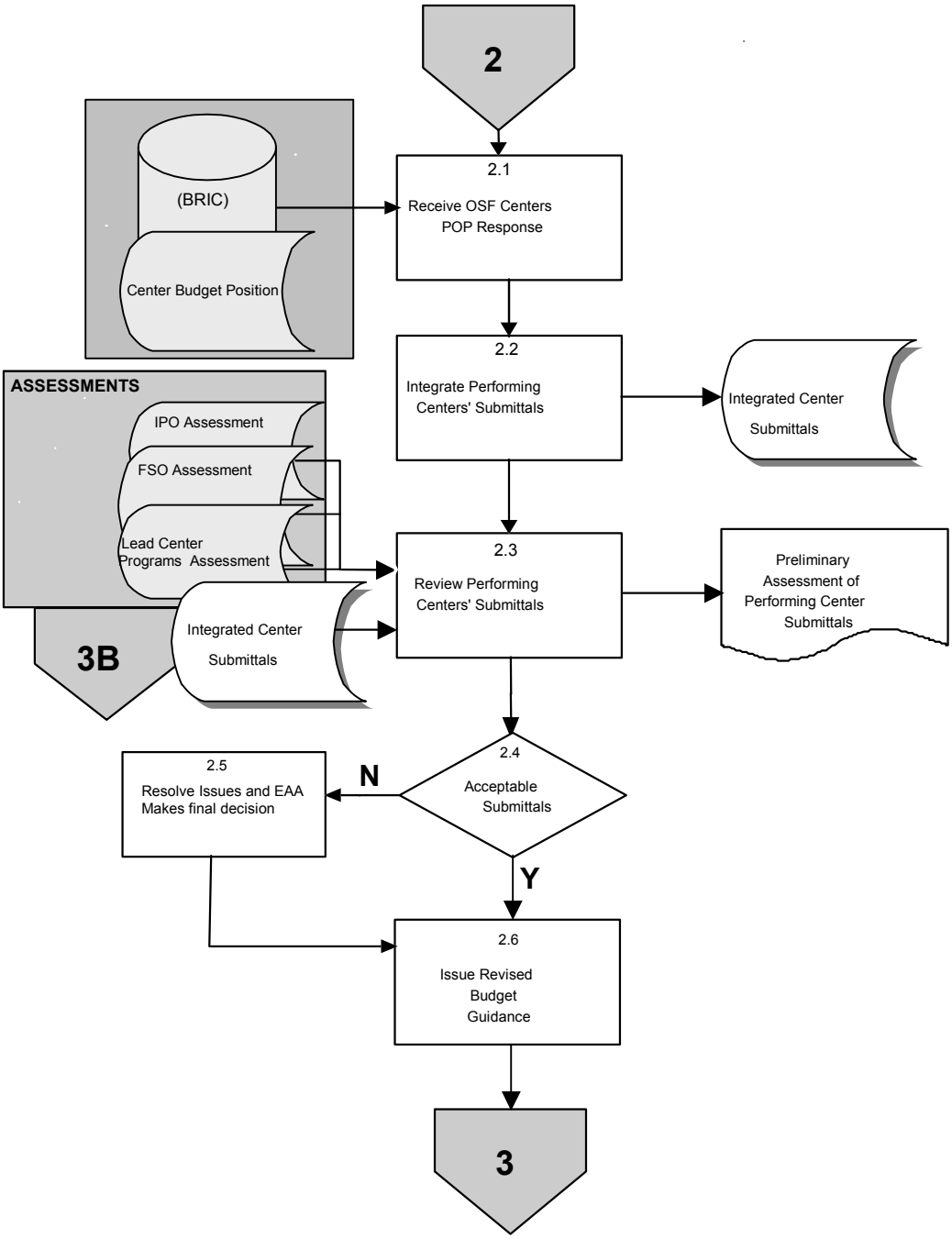
The flowcharts provided in this section are for the Budget Formulation (Advocacy) Process. The process is comprised of five subprocesses that all interrelate and are dependent upon each other.
The five subprocesses depicted in this section include the following:

1. Build POP Guidelines
2. Build Center POP Submission
3. Build Enterprise Budget
4. Build Agency Submission to OMB
5. Build Congressional Budget.

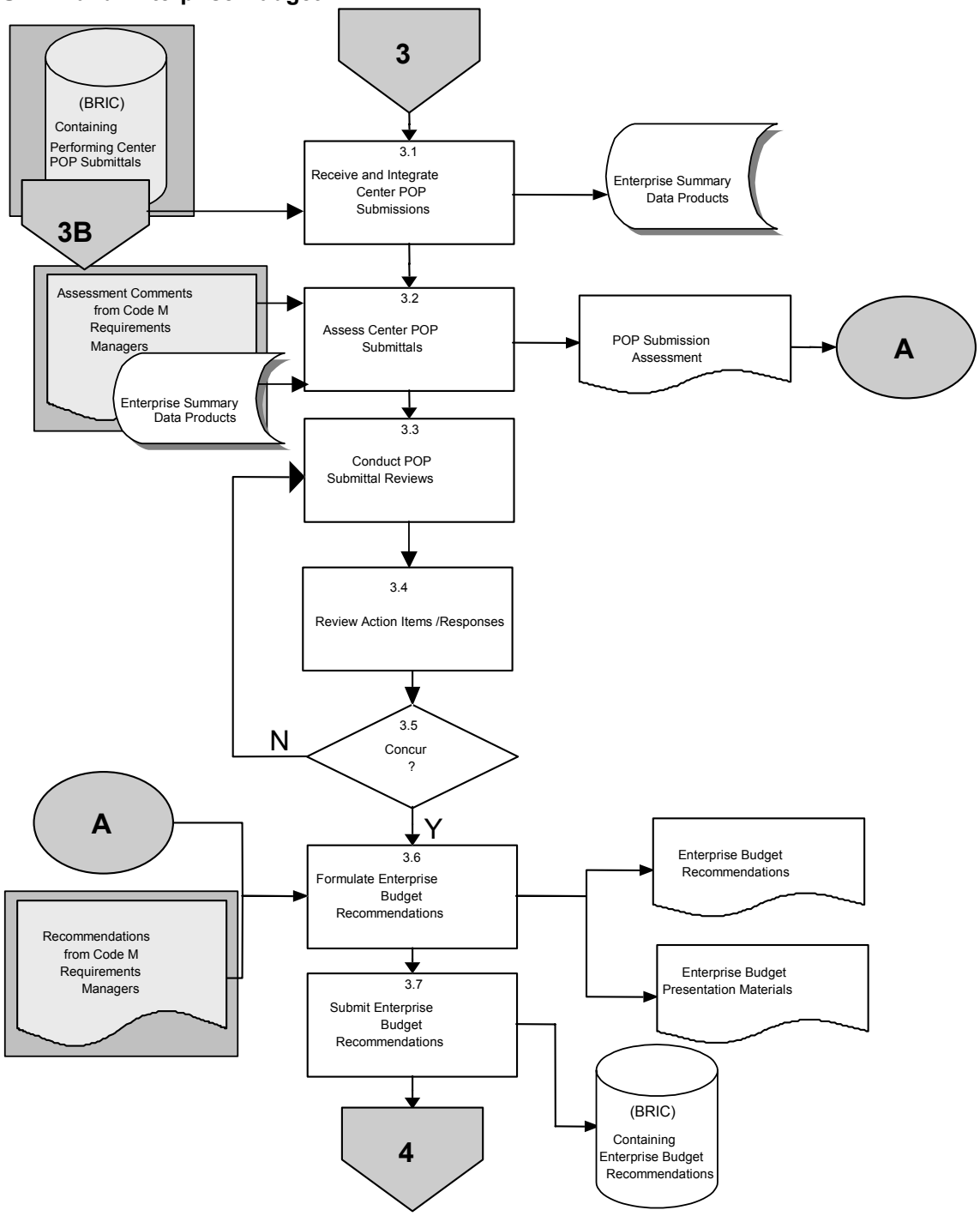
5.1 Build POP Guidelines



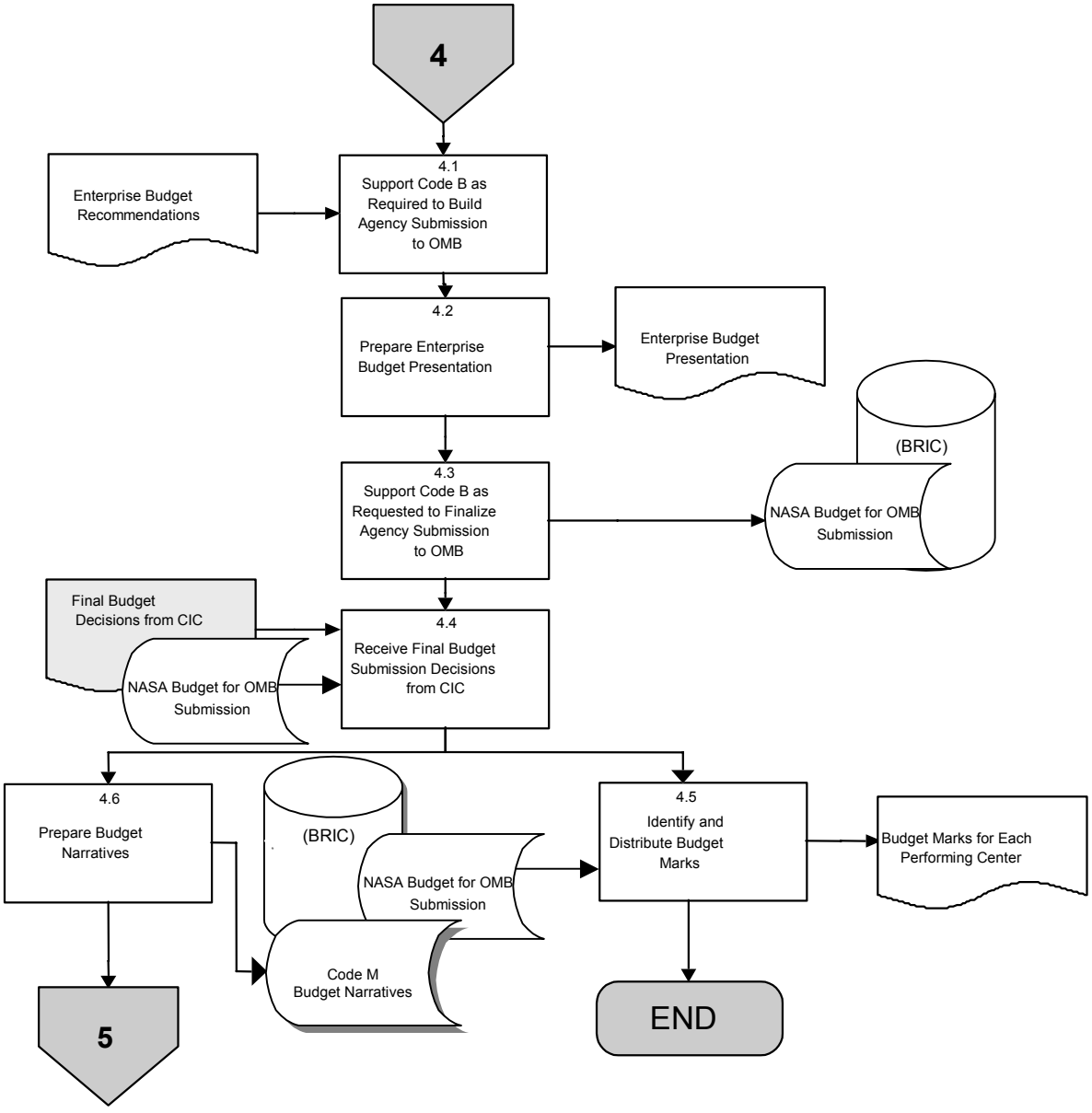
5.2 Build Center POP Submission

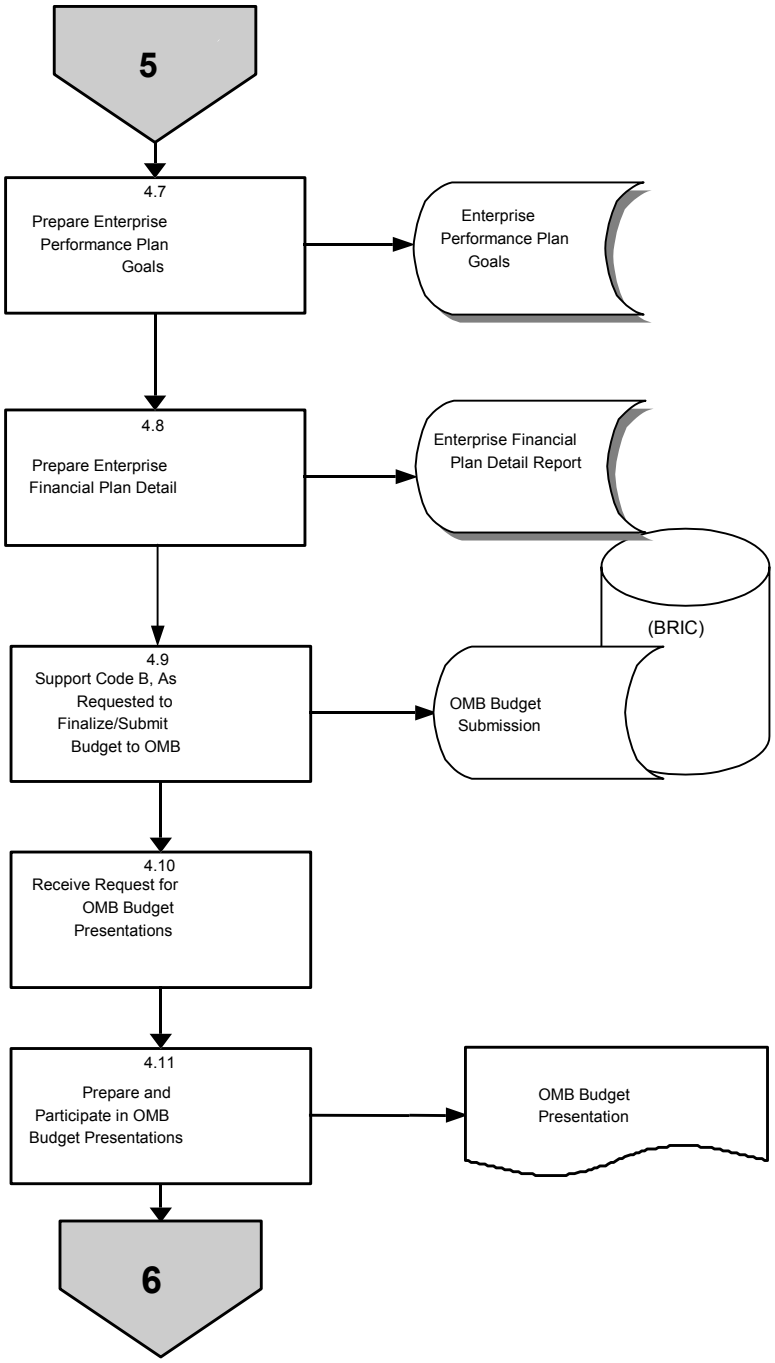


5.3 Build Enterprise Budget

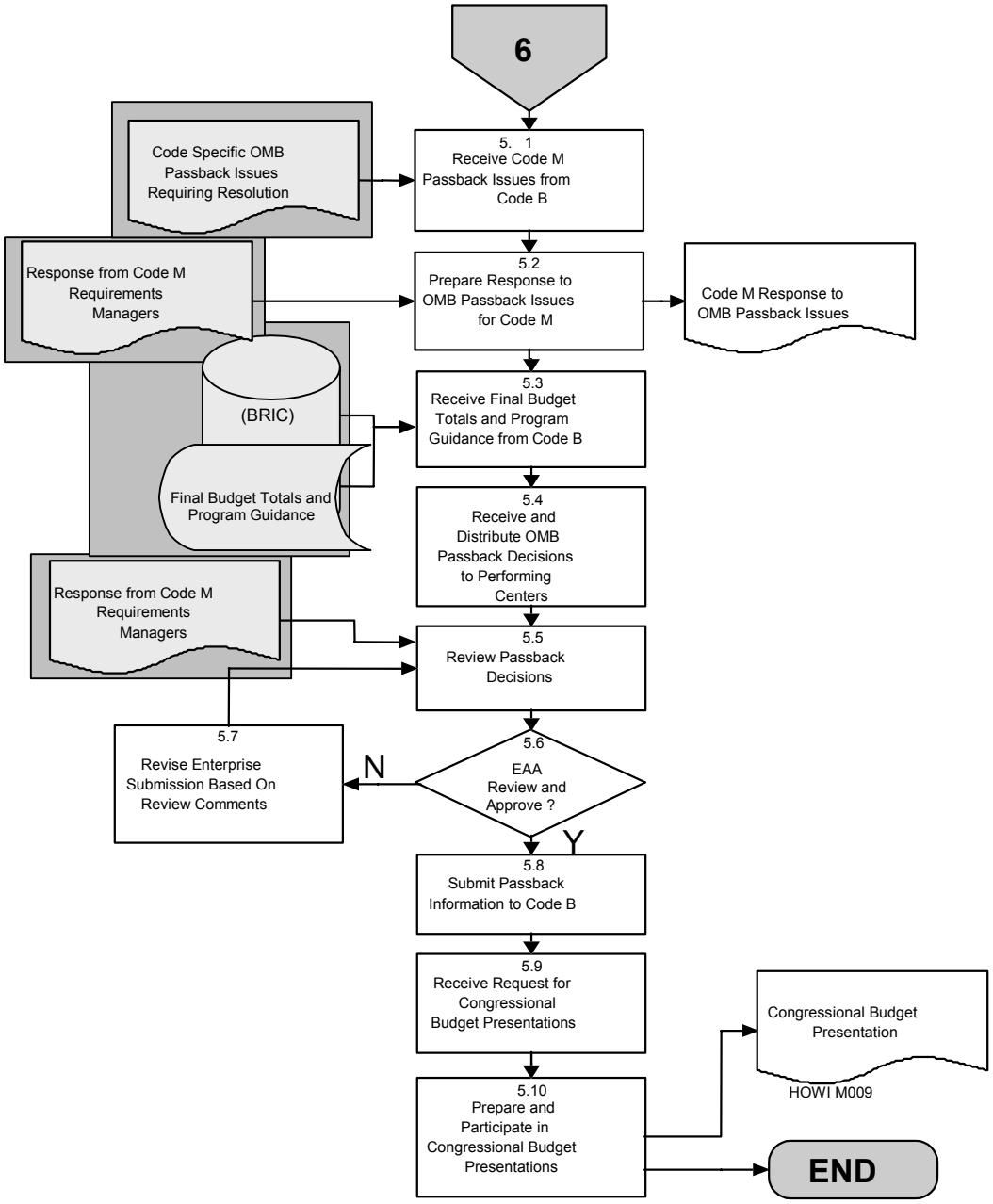


5.4 Build Agency Submission to OMB




5
4.7
Prepare Enterprise Performance Plan Goals
Enterprise Performance Plan Goals
4.8
Prepare Enterprise Financial Plan Detail
Enterprise Financial Plan Detail Report
(BRIC)
4.9
Support Code B, As Requested to Finalize/Submit Budget to OMB
OMB Budget Submission
4.10
Receive Request for OMB Budget Presentations
4.11
Prepare and Participate in OMB Budget Presentations
OMB Budget Presentation
6

5.5 Build Congressional Budget



6.0 CODE M BUDGET FORMULATION PROCESS STEPS

This process consists of five primary phases that includes the following:

1. Build POP Guidelines
2. Build POP Submission
3. Build Enterprise Budget
4. Build Agency Submission to OMB
5. Build Congressional Budget.

The process is repeated yearly with activities occurring throughout the year. The process starts the middle of January for a budget submitted to Congress in February of the following year. The process identified below identifies the Code M activities within a context of the primary Code B Process (To be defined).

The following step descriptions are organized and numbered in the sequence specified above.

6.1 Build POP Guidelines

Actionee	Flowchart Reference	Action
Chief Budget Integ. Officer Code M	1.1	Prepare Strategic Outline of Issues after soliciting input from the Performing Centers and Lead Centers. The Strategic Outline of Issues is delivered to the Capital Investment Council and Code B as input to the Strategic Guidance for Budget Formulation
Chief Budget Integ. Officer Code M	1.2	Update Program Financial Plan (PFP) after soliciting input from the Performing Centers and Lead Centers. The PFP is delivered to Code B as input to the Strategic Guidance for Budget Formulation

Chief Budget Integ. Officer Code M	1.3	Receive budget guidance from Code B that reflects Agency strategic planning for the Annual Budget Request and 5-year Budget Plan.
Chief Budget Integ. Officer Code M	1.4	Prepare program specific budget formulation guidance using the POP budget guidance provided by Code B and input from Code M Requirements Managers for distribution to NASA Centers

6.2 Build POP Submission

Code B prepares budget guidance for agency distribution. The NASA Centers, in turn use the guidance to prepare and submit a response to Code M6.

Actionee	Flowchart Reference	Action
Chief Budget Integ. Officer Code M	2.1	OSF Centers submit POP responses to the Lead Center Programs, Functional Staff offices, and the IPO.
Chief Budget Integ. Officer Code M	2.2	The Lead Center Functional Staff office integrates OSF Center's submittals.
Chief Budget Integ. Officer Code M	2.3	Review budget submittals to determine conformance to guidance. The Lead Center Program, Functional Staff Offices, and the IPO issue a preliminary assessment noting any issues
Chief Budget Integ. Officer Code M	2.4	Based upon the assessments, a determination is made of whether or not the submittals are acceptable. If the submittal is not acceptable, resolve issues (Step 2.5). If the submittal is acceptable issue revised budget guidance to OSF Centers (Activity Step 2.6).
Chief Budget Integ. Officer Resolution Code M	2.5	The Lead Center Program, Functional Staff offices, and the IPO resolve issues with the OSF centers. may include additional documentation, optional scenarios, & ultimately a decision made by the EAA.
Chief Budget Integ. Officer Code M	2.6	Issue revised budget guidance to OSF Centers based upon successful resolution of Step 2.5.

6.3 Build Enterprise Budget

Actionee	Flowchart Reference	Action
Chief Budget Integ. Officer Code M	3.1	Receive and integrate Performing Centers' POP submissions. The integrated budget Enterprise AA submissions should result in Enterprise Summary Data Products.
Chief Budget Integ. Officer Code M	3.2	Assess Performing Center's POP submissions using input & assessments from the Code M Requirements Managers and report findings to the Enterprise AA.
Chief Budget Integ. Officer Code M	3.3	Conduct reviews of POP submissions with Lead Centers and Performing Centers on program Managers and institutional submissions.
Chief Budget Integ. Officer Code M	3.4	Review action items and integrate in preparation for Step 3.5.
DAA	3.5	Concurrence by DAA for Business Management.
Chief Budget Integ. Officer Code M	3.6	Formulate budget recommendations using recommendations from Code M Requirements Managers for submittal to the Enterprise AA.
Chief Budget Integ. Officer Code M	3.7	Submit Enterprise Budget Recommendations to Code B after approval by the Enterprise AA.

6.4 Build Agency Submission to OMB

Actionee	Flowchart Reference	Action
Chief Budget Integ. Officer Code M	4.1	Support Code B, as requested, to build agency submission to OMB. This entails submission of various data formats and query responses, on an as requested basis.

Chief Budget Integ. Officer Code M	4.2	Prepare Enterprise budget presentation for CIC. Presentation defines budget requirements and addresses program issues.
Chief Budget Integ. Officer Code M	4.3	Support Code B, working in an iterative manner, to finalize budget submission to OMB (refer to 4.1).
Chief Budget Integ. Officer Code M	4.4	Receive final budget submission decisions from the CIC. These decisions form the basis of NASA's budget submittal to OMB.
Chief Budget Integ. Officer Code M	4.5	Identify and distribute budget marks to Performing Centers, consistent with CIC decisions made in Step 4.4.
Chief Budget Integ. Officer Code M	4.6	Prepare Budget Narratives that support the final Budget submission decisions from the CIC. These narratives will support the agency's submit to OMB.
Chief Budget Integ. Officer Code M	4.7	Prepare Enterprise Performance Plan Goals that describe how we intend to measure program results.
Chief Budget Integ. Officer Code M	4.8	Prepare Enterprise Financial Plan for each program Element consistent with the Agency's program Financial Plan provided by Code B.
Chief Budget Integ. Officer Code M	4.9	Support Code B supplementary narrative, as requested to finalize and submit the budget to OMB.
Chief Budget Integ. Officer Code M	4.10	Receive a request coordinated by Code B for OMB Budget Presentation.
Chief Budget Integ. Officer Code M	4.11	Identify priorities and goals, and prepare and participate in the OMB Budget Presentations. Presentations are focused on past years accomplishments, current program status, performance measurement, future plans & issues identified by OMB.

6.5 Build Congressional Budget

Actionee	Flowchart Reference	Action
Chief Budget Integ. Officer Code M	5.1	Receive Code M Passback Issues resulting from OMB presentations from Code B. Issues tend to focus on Agency & Administration Policy matters.
Chief Budget Integ. Officer Code M	5.2	Prepare response to OMB passback issues, if requested, coordinated with Code M requirements managers.
Code B/OMB	5.3	Following final deliberation between NASA & OMB, receive final budget totals and program guidance from Code B. This forms the basis of the President's Budget Request to Congress.
Chief Budget Integ. Officer Code M	5.4	Receive and distribute the final totals and program guidance from Code B to Performance Centers in coordination with Enterprises/Lead Centers/ FSO
Chief Budget Integ. Officer Code M	5.5	Re-baseline program requirements consistent with passback decisions by working with Code M requirements managers.
EAA	5.6	EAA reviews and approves.
Chief Budget Integ. Officer Code M	5.7	Revise content of Enterprise budget allocation to reflect Enterprise program priorities, if required, prior to approval
Chief Budget Integ. Officer Code M	5.8	Submit updated allocated passback information and clarifications to Code B
Chief Budget Integ. Officer Code M	5.9	Receive request for congressional budget presentations, coordinated by Code L.
Chief Budget Integ. Officer Code M	5.10	Prepare and participate in the congressional budget presentations. Briefings to Congressional Staff may either be formal presentations to an entire committee staff or a series of informal meetings with individual staffers.

7.0 RECORDS

The following records are filed or maintained as proof of work completed, decisions made, or information to be maintained. Each report is produced in due course sequentially within the process. The process spans a time period of more than 12 months and is iterative in nature. The Code B virtual file cabinet copies are the responsibility of Code B.

RECORD IDENTIFICATION	OWNER	LOCATION	RECORD MEDIA: ELECTRONIC OR HARD COPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/DISPOSITION
Program Financial Plan	M-6	M-6	Electronic	Section 7 item 21,D	Destroy 2 years after close of Fiscal year.
Program Guidance for POP	M-6	M-6	Electronic	Section 7 item 21,F	Destroy 1 year after close of Fiscal year.
Integrated Center Submittals	M-6	M-6	Electronic	Section 7 Item 21,F	Destroy 1 year after close of Fiscal year.
Enterprise Summary Data Products	M-6	M-6	Electronic	Section 7 Item 21,F	Destroy 1 year after close of Fiscal year.
Code M Budget Narratives	M-6	M-6	Electronic	Section 7 item 21,D	Destroy 2 years after close of Fiscal year.
Enterprise Performance Plan Goals	M-6	M-6	Electronic	Section 7 Item 21, E.1	Destroy when 5 years old.
Enterprise Financial Plan Detail Report	M-6	M-6	Electronic	Section 7 item 21,D	Destroy 2 years after close of Fiscal year.